

Climate Program Office FY 2019

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## ANNOUNCEMENT OF FEDERAL FUNDING OPPORTUNITY

## EXECUTIVE SUMMARY

Federal Agency Name(s): Office of Oceanic and Atmospheric Research (OAR), National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

Funding Opportunity Title: Climate Program Office FY 2019

Announcement Type: Initial

Funding Opportunity Number: NOAA-OAR-CPO-2019-2005530

Catalog of Federal Domestic Assistance (CFDA) Number: 11.431, Climate and Atmospheric Research

Dates: Letters of intent (LOIs) for all competitions should be received by email by 5:00 p.m. Eastern Time on September 10, 2018.

Full Applications: Full applications for all competitions must be received by 5:00 p.m. Eastern Time, November 20, 2018.

Funding Opportunity Description: The National Oceanic and Atmospheric Administration (NOAA) is focused on providing the essential and highest quality environmental information vital to our Nation's safety, prosperity and resilience. Toward this goal, the agency conducts and supports weather and climate research, oceanic and atmospheric observations, modeling, information management, assessments, interdisciplinary decision-support research, outreach, education, and partnership development.

Climate variability and change present society with significant economic, health, safety, and security challenges and opportunities. In meeting these challenges, and as part of NOAA's climate portfolio within the Office of Oceanic and Atmospheric Research (OAR), the Climate Program Office (CPO) advances scientific understanding, monitoring, and prediction of climate and its impacts, to enable effective decisions through investments at NOAA labs, service lines and Cooperative Institutes, as well as non-governmental organizations, the private sector and the university community. These investments are key to NOAA's mission of "Science, Service, and Stewardship" and are guided by the agency's vision to create and sustain enhanced resilience in ecosystems, communities, and economies.

Within this context, CPO manages competitive research programs through which NOAA funds high-priority climate science, assessments, decision support research, outreach, education, and capacity-building activities designed to advance our understanding of the Earth's climate system,

and to foster the application and use of this knowledge to improve the resilience of our Nation and its partners. CPO supports research that is conducted across the United States and internationally. CPO also provides strategic guidance for the agency's broader climate science and services programs and supports NOAA's mandated responsibilities under the National Climate Program Act, Global Change Research Act and its National Climate Assessment, the National Integrated Drought Information System Act, and similar international endeavors such as the Global Framework for Climate Services. CPO's climate research portfolio is designed to achieve a fully integrated research and applications program.

CPO's strategy addresses challenges in the areas of: (1) Weather and climate extremes, (2) Climate impacts on water resources, (3) Coasts and climate resilience, (4) Sustainability of marine ecosystems, and (5) Changing atmospheric composition and its impacts. Making progress in addressing climate-related societal challenges, and realizing benefits for NOAA's public and private partners, requires that these mission-focused capabilities be integrated across CPO to align research, applications, transitions, and operations, and to meet the information needs for a resilient society. We work towards this objective of integration through a focus on climate intelligence and climate resilience, in support of NOAA's goals.

CPO defines climate intelligence as the capabilities regarding: (1) Observations and monitoring, (2) Earth system science and modeling, (3) Climate and societal interactions, and (4) Communication, education, and engagement. Climate resilience leverages climate intelligence to advance capabilities for responding to the urgent and growing demand for reliable, trusted, transparent, and timely climate information needed to protect and sustain all sectors of our economy and environment.

A hallmark of CPO's success in linking climate intelligence to resilience is the development and deployment of end-to-end research-based integrated information systems that address needs of high societal relevance. Key components of this effort are annual Federal Funding Opportunities, competitive grants programs and other types of support that advance and extend NOAA's foundational capabilities and applications research. Proficiency in these core areas ensures that CPO's infrastructure is always in place to meet the intelligence and resilience challenges of our changing climate.

NOAA, OAR, and CPO encourage applicants and awardees to support the principles of diversity and inclusion when writing their proposals and performing their work. Diversity is defined as a collection of individual attributes that together help organizations achieve objectives. Inclusion is defined as a culture that connects each employee to the organization. Promoting diversity and inclusion improves creativity, productivity, and the vitality of the climate research community in which CPO engages.

## FULL ANNOUNCEMENT TEXT

## I. Funding Opportunity Description

## A. Program Objective

The National Oceanic and Atmospheric Administration (NOAA) is focused on providing the essential and highest quality environmental information vital to our Nation's safety, prosperity and resilience. Toward this goal, the agency conducts and supports weather and climate research, oceanic and atmospheric observations, modeling, information management, assessments, interdisciplinary decision-support research, outreach, education, and partnership development.

Climate variability and change present society with significant economic, health, safety, and security challenges and opportunities. In meeting these challenges, and as part of NOAA's climate portfolio within the Office of Oceanic and Atmospheric Research (OAR), the Climate Program Office (CPO) advances scientific understanding, monitoring, and prediction of climate and its impacts, to enable effective decisions. These investments are key to NOAA's mission of "Science, Service, and Stewardship" and are guided by the agency's vision to create and sustain enhanced resilience in ecosystems, communities, and economies.

Within this context, CPO manages competitive research programs through which NOAA funds high-priority climate science, assessments, decision support research, outreach, education, and capacity-building activities designed to advance our understanding of the Earth's climate system, and to foster the application and use of this knowledge to improve the resilience of our Nation and its partners. CPO supports research that is conducted across the United States and internationally. CPO also provides strategic guidance for the agency's broader climate science and services programs and supports NOAA's mandated responsibilities under the National Climate Program Act, Global Change Research Act and its National Climate Assessment, the National Integrated Drought Information System Act, and similar international endeavors such as the Global Framework for Climate Services. CPO's climate research portfolio is designed to achieve a fully integrated research and applications program.

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#### B. Program Priorities

CPO supports competitive research through three major program areas: Earth System Science and Modeling (ESSM); Climate and Societal Interactions (CSI); and Communication, Education and Engagement (CEE). Through this announcement, CPO is seeking applications for 10 individual competitions in FY 2019. Prior to submitting applications, investigators are highly encouraged to learn more about CPO and its programs, as well as specific program priorities for FY 2019. In addition, interactions, partnerships, or collaborations with NOAA Laboratories and Cooperative Institutes are encouraged.

This information, along with the names and contact information for each Competition Manager, is provided in information sheets that can be found at the following website: <http://cpo.noaa.gov/Grants>.

The 10 competitions covered by this announcement are as follows:

Earth System Science and Modeling (ESSM):

AC4 - Long term trends in observations of atmospheric composition

CVP - Decadal Climate Variability and Predictability

CVP - Observing and Understanding Upper-Ocean Processes and Shallow Convection in the

Tropical Atlantic Ocean

CVP - Climate Process Teams - Translating Ocean and/or Atmospheric Process

Understanding to Improve Climate Models

MAPP - Climate Process Teams - Translating Land Process Understanding to Improve Climate Models

MAPP - 21st Century Integrated U.S. Climate Predictions and Projections

Climate and Societal Interactions (CSI):

Sectoral Applications Research Program (SARP) - Coping with Drought in Support of the National Integrated Drought Information System

Assessing and Communicating Economic Impacts and Risks Associated with Water

Resource Management Challenges Along the Coast (COCA/SARP joint competition)

Coastal and Ocean Climate Applications (COCA) Sustainable Fisheries in a Changing Climate Program: Supporting Resilient Fishing Communities in the Northeast Region

Communication, Education Engagement:

Building U.S. Communities' and Businesses' Resilience to Extreme Events

## 1. Earth System Science and Modeling (ESSM) Division

The mission of CPO's Earth System Science and Modeling (ESSM) Division is to advance scientific understanding of Earth's atmosphere, ocean, land, and cryosphere as an integrated system and to improve NOAA's Earth system climate models and predictions. To accomplish this mission, ESSM funds a unique and highly flexible research enterprise, including process-level studies, predictability studies of climate phenomena, testing for research-to-operation and application transitions; improving model representations of key processes and prediction technologies, and developing methodologies, tools and products for applications.

### A. Atmospheric Chemistry, Carbon Cycle, and Climate (AC4)

AC4 is a competitive research program formed in Fiscal Year 2013 that incorporates research on atmospheric chemistry and the carbon cycle. In collaboration with the NOAA Laboratories and the academic community, the AC4 program supports research to determine the processes governing atmospheric concentrations of trace gases and aerosols in the context of the Earth System. The program aims to contribute a process-level understanding of the Earth System through observation, modeling, analysis, and field studies to support the development and improvement of models, and to inform carbon and air pollution

management efforts.

In FY 2019, the AC4 Program is soliciting research proposals for the following competition:

i. Long Term Trends in Observations of Atmospheric Composition - In FY19, the AC4 Program solicits proposals that aim to explain various trends, patterns and extremes detectable in the existing long-term observational records. Features that could be explored include, but are not limited to: factors influencing gradient of the long-term trends patterns, anomalies and extremes in long-term trends, intra- and interannual variability and change, changes in amplitude of seasonal cycle, local or regional changes in the long-term trends

#### B. Climate Variability and Predictability (CVP) Program

The Climate Variability and Predictability (CVP) Program supports research that enhances our process-level understanding of the climate system through observation, modeling, analysis, and field studies. This vital knowledge is needed to improve climate models and predictions so that scientists and society can better anticipate the impacts of future climate variability and change.

In FY 2019, the CVP Program is soliciting research proposals for the following three competitions:

i. CVP - Decadal Climate Variability and Predictability - In FY19, CVP is interested in data analysis and/or coupled-modeling studies focused on the state and process-level understanding of the ocean and atmosphere on the interannual to multi-decadal timescales in the following two priority areas: a) Investigation of mechanisms that govern variability of the coupled climate system and its predictability on the interannual to multi-decadal timescales within long-term observation data and/or model data (such as, CMIP6), with a focus on either the Atlantic or Pacific Ocean region; and b) Investigation of the relationship between the Atlantic Meridional Overturning Circulation (AMOC) and global and regional sea level (historical, current, and/or future), with a focus on understanding sea level extremes and coastal impacts in the United States, for the improved understanding of the ocean-climate system.

ii. CVP - Observing and Understanding Upper-Ocean Processes and Shallow Convection in the Tropical Atlantic Ocean - In FY19, CVP is interested in studies focused on observing, understanding, and/or process modeling of upper ocean processes and air-sea interactions in

the Northwest Tropical Atlantic as part of the Atlantic Tradewind Ocean-Atmosphere Mesoscale Interaction Campaign (ATOMIC, US-lead research) and the EUREC4A Ocean-Atmosphere component (EUREC4A-OA, European-lead research) field campaigns. The key purpose of these CVP studies and of ATOMIC/EUREC4A-OA is to examine air-sea interactions which include, but are not limited to, upper ocean processes, ocean boundary layers, mesoscale ocean eddies, ocean interactions with the atmosphere, as well as lower atmospheric boundary layer processes and their influence on the ocean.

iii. CVP - Climate Process Teams - Translating Ocean and/or Atmospheric Process Understanding to Improve Climate Models - In FY19, CVP is interested in Climate Process Team (CPT) proposals with a traditional focus on model diagnostics and process representation improvements to ocean and/or atmospheric models. Please see the information sheet for a description of candidate processes and specific team requirements.

#### C. Modeling, Analysis, Predictions, and Projections (MAPP) Program

MAPP's mission is to enhance the Nation's capability to understand and predict natural variability and changes in Earth's climate system. The MAPP Program supports development of advanced climate modeling technologies to improve simulation of climate variability, prediction of future climate variations, and projection of long-term future climate conditions. To achieve its mission, the MAPP Program supports research focused on the coupling, integration, and application of Earth system models and analyses across NOAA, among partner agencies, and with the external research community.

In FY 2019 the MAPP program is soliciting research proposals for the following two competitions:

i. Climate Process Teams - Translating Land Process Understanding to Improve Climate Models. In FY 2019, the MAPP program is soliciting proposals for Climate Process Teams (CPTs) focusing on accelerating the realism in the modeling of land processes as part of the Earth's climate system. Please see the information sheet for a description of candidate processes and specific team requirements.

ii. 21st Century Integrated U.S. Climate Predictions and Projections. In FY 2019, the MAPP Program is soliciting research proposals that build on Coupled Model Intercomparison Project Phase 6 (CMIP6) results for improved depictions of 21st century climate over the United States. Proposals can focus on one or more of the following priority areas: a) Develop



integrated predictions/projections of long-term climate changes affecting the United States within the global context at national or large regional scale, and/or for specific applications; b) Develop integrated process-level understanding of predicted/projected climate changes (as in priority area “a”) for the purpose of characterizing associated confidence and uncertainties; and c) Develop indicators of predicted/projected 21st century U.S. climate changes in support of National Climate Assessment activities under the U.S. Global Change Research Program. Please see the information sheet for a description of specific requirements.

## 2. Climate and Societal Interactions (CSI)

CSI’s mission is to improve resilience and preparedness in diverse socio-economic regions and sectors throughout the United States and abroad through the use of climate knowledge and information. Our research advances the nation’s understanding of climate-related risks and vulnerabilities across sectors and regions, and the development of tools to foster more informed decision making. These efforts support NOAA's vision to create and sustain enhanced resilience in ecosystems, communities, and economies.

A. Sectoral Applications Research Program (SARP) and Coping with Drought in Support of the National Integrated Drought Information System (NIDIS) - NIDIS provides dynamic and easily accessible drought information for the nation through drought research, focusing on risk assessment, forecasting, management, and development of decision support resources. SARP in partnership with NIDIS funds projects through the Coping with Drought Initiative. For FY19, this competition will focus on projects within the NIDIS Regional Drought Early Warning (DEWS) regions. Topics to be covered will include: business and decision calendars, water markets, and drought triggers and indicators.

B. Assessing and Communicating Economic Impacts and Risks Associated with Water Resource Management Challenges Along the Coast (joint competition between COCA and SARP). The research goals of this solicitation are designed to ensure connection with on-going planning and preparation, stimulate service development activities to help society reduce the impacts of extreme events, and adapt to a changing climate in ways that support economic growth. Inspired by work resulting from SARP and COCA projects, this competition focuses on the need to collaboratively identify and specify the economic impacts of extreme weather and climate related events in specific locations. This will inform the planning and response necessary to support the resilience of the nation’s coastal communities and resources valuable to the blue economy.

For FY19, this competition is soliciting proposals for multidisciplinary user-driven research projects to work with a US coastal community(s) grappling with and assessing the risks to water resources management associated with a series of high tide flooding occurrences, extreme precipitation events, and/or sea level rise. Each research project requires engagement with relevant managers, water utilities, and/or community and state planners, etc. to incorporate the best climate science into infrastructure planning and actions in order to inform adaptation strategies.

C. Coastal and Ocean Climate Applications (COCA) Sustainable Fisheries in a Changing Climate Program: Supporting Resilient Fishing Communities in the Northeast Region  
Fishing communities vary in size and composition, from smaller towns to larger ports, and rely on sustainable working waterfronts for processing, sale, and transport of goods and services. There is a need to understand the key socio-economic challenges affecting fishing communities as well as mechanisms to effectively communicate this information for adaptation planning and management. Increasing climate variability requires adaptive responses to mitigate these impacts and longer term changes require actions for communities to prepare and respond. Developing useful planning and management strategies requires consideration of a range of climate and non-climate related stressors (e.g. development, competition, water quality, market effects, etc.) affecting fishing communities. For FY19, COCA, in partnership with the NMFS Office of Science and Technology, is soliciting proposals for interdisciplinary research projects that help build the capacity of fishing communities along the U.S. northeast coast (from Cape Hatteras, NC through Maine) to assess socio-economic risks and impacts of climate-driven changes in marine ecosystems to inform adaptation planning and management decisions. Projects should include social science methodologies and participatory activities with managers, fishermen, fisheries management councils, and other relevant stakeholders and decision makers to ensure co-production of research and the communication of results.

As defined by the Magnuson-Stevens Fishery Conservation and Management Act, “fishing community” means a community which is substantially dependent on or substantially engaged in the harvest or processing of fishery resources to meet social and economic needs, and includes fishing vessel owners, operators, and crew and United States fish processors that are based in such community.

### 3. Communication, Education and Engagement (CEE)

In alignment with the goals and objectives of the Climate Resilience Toolkit (CRT), this new cooperative agreement title is “Building U.S. Communities’ and Businesses’ Resilience to Extreme Events.” A key part of CEE’s mission, in partnership with the CPO/CSI Division

and others, is to help U.S. communities and businesses better understand and manage their climate-related risks and opportunities, which includes building resilience to climate-related extreme events. To achieve this mission, CEE manages and maintains the U.S. Climate Resilience Toolkit (or CRT, online at <https://toolkit.climate.gov>), which provides easy public access to federal science-based information, tools, data products, and expertise—all designed to help decision makers, resource managers, municipal planners, and business and policy leaders plan for and build climate resilience for their populations and valued assets. Partnerships across all domains—government, academic, commercial, and non-profit organizations—are essential to CEE’s success.

#### C. Program Authority

49 U.S.C. 44720(b), 15 U.S.C. 2904, 15 U.S.C. 2931-2934

## II. Award Information

#### A. Funding Availability

In FY 2019, approximately \$11.25 million will be available for approximately 90 new awards pending budget appropriations (see section I.B above). It is anticipated that most awards will be at a funding level between \$50,000 and \$300,000 per year with exceptions for larger awards. Federal funding for FY 2020 may be used to fund some awards submitted under this Notice of Funding Opportunity. Current or previous grantees are eligible to apply for a new award that builds on, but does not replicate, activities covered in existing or previous awards. Current grantees should not apply for supplementary funding through this announcement.

Funding availability per FY 2019 competition is provided below.

##### 1. Atmospheric Chemistry, Carbon Cycle and Climate (AC4)

It is anticipated that \$1.2 million will be available for FY19 new starts for the AC4 competition. Two- or three-year proposals are requested. It is anticipated that most awards will be at a funding level between \$150,000 and \$200,000 per year for up to 3 years, depending on the availability of funding. Proposal budget cannot exceed \$600,000 in total costs.

##### 2. CVP - Decadal Climate Variability and Predictability

It is anticipated that there will be \$1.5 million available in FY19 for CVP - Decadal Climate Variability and Predictability competition. It is anticipated that most awards will be at a

funding level between \$150,000 and \$300,000 per year for up to 3 years, depending on the availability of funding. Projects will start in FY19 or FY20, depending on the needs of the project and the availability of funding.

### 3. CVP - Observing and Understanding Upper-Ocean Processes and Shallow Convection in the Tropical Atlantic Ocean

It is anticipated that there will be \$1.5 million available in FY19 for CVP - Observing and Understanding Upper-Ocean Processes and Shallow Convection in the Tropical Atlantic Ocean competition. It is anticipated that most awards will be at a funding level between \$150,000 and \$300,000 per year for up to 3 years, depending on the availability of funding. Projects will start either in FY19 or FY20, depending on the needs of the project and the availability of funding.

### 4. CVP - Climate Process Teams - Translating Ocean and/or Atmospheric Process Understanding to Improve Climate Models

It is anticipated that there will be \$2 million available in FY19 for CVP - Climate Process Teams - Translating Ocean and/or Atmospheric Process Understanding to Improve Climate Models competition. It is anticipated that most awards for Climate Process Team proposals (the combined budgets of all collaborators comprising the team) will be at a funding level between \$600,000 to \$1,000,000/year. Awards will be made for up to three years with a possibility of a two-year extension for teams that have met their second year milestones and are performing satisfactorily toward their third year milestones. Awards may be funded in partnership with other agencies participating in US-CLIVAR and/or the U.S. Global Change Research Program. Successful applicants may be required to also submit their proposals to partnering agencies to receive funding.

### 5. MAPP- Climate Process Teams - Translating Land Process Understanding to Improve Climate Models

Pending the availability of funds in FY 2019, the MAPP program anticipates a funding allocation of \$1,000,000 for this competition. Total funding for this competition may exceed this amount, depending on partners' contributions. The range of funding for each Climate Process Team proposal (the combined budgets of all collaborators comprising the team) should be \$600,000 to \$1,000,000/year. It is anticipated that 1-2 Climate Process Teams may be funded as a result of this competition. Awards may be funded in partnership with the Department of Energy (DOE), Office of Science, Earth and Environmental Systems Modeling Program, and other agencies participating in US-CLIVAR and the U.S. Global Change Research Program, as appropriate. Successful proponents may be required to also submit their proposals to partnering agencies to receive funding.

#### 6. MAPP - 21st Century Integrated U.S. Climate Predictions and Projections

Pending the availability of funds in FY 2019, the MAPP program anticipates a funding allocation of \$1,000,000 for this competition. Total funding for this competition may exceed this amount, depending on partners' contributions. Funding for Type I projects is up to \$100,000/year; funding for the Type II project (only one Type II project will be funded) is \$250,000-300,000/year (see information sheet for project type definitions). A total of 7-10 projects may be funded; this number may be exceeded depending on partners contributions. The MAPP program envisions working with partners at NOAA and outside to co-fund new awards. NOAA partners include the Climate Program Office/Assessments Program. Additional partners are sought in the public sector (federal, state and local level), academia, non-profit organizations and commercial entities. Non-federal co-funding partners will be asked to enter a Memorandum of Understanding with NOAA which will detail co-funding terms. Prospective partners should consult the competition information sheet for more information.

7. Climate and Societal Interactions (CSI) - combined Coastal and Oceans Climate Application (COCA) and Sectoral Applications Research Program (SARP) competition: Assessing and Communicating Economic Impacts and Risks Associated with Water Resource Management Challenges Along the Coast will have an anticipated \$1.5 million available for funding.

8. Climate and Societal Interactions (CSI) - Sectoral Application Research Program's Coping with Drought in Support of the National Integrated Drought Information System (NIDIS) will have an anticipated \$500,000 available for funding grants.

9. Climate and Societal Interactions (CSI) - Coastal and Oceans Climate Application (COCA) Sustainable Fisheries in a Changing Climate Program: Supporting Resilient Fishing Communities in the Northeast Region will have an anticipated \$900,000 available for funding.

10. Communication, Education and Engagement (CEE) - It is anticipated that a total of \$150,000 will be available in FY 2019 for between 3 and 6 new projects (between \$25k - \$50k each) for the CEE competition.

#### B. Project/Award Period

1. AC4 Projects are expected to last 1-3 years.

2. CVP - Decadal Climate Variability and Predictability projects are expected to last for up to 3 years.

3. CVP - Observing and Understanding Upper-Ocean Processes and Shallow Convection in the Tropical Atlantic Ocean projects are expected to last up to 3 years.

4. CVP - Climate Process Teams - Translating Ocean and/or Atmospheric Process Understanding to Improve Climate Models projects are expected to be made for up to three years with a possibility of a two-year extension for teams that have met their second year milestones and are performing satisfactorily toward their third year milestones.

5. MAPP- Climate Process Teams - Translating Land Process Understanding to Improve Climate Models projects are expected to be made for up to three years with a possibility of a two-year extension for teams that have met their second year milestones and are performing satisfactorily toward their third year milestones.

6. MAPP - 21st Century Integrated U.S. Climate Predictions and Projections projects will be up to two years.

7. SARP - The Coping with Drought in Support of the National Integrated Drought Information System projects will be one-year projects.

8. COCA/SARP Projects for the joint competition will be up to two-years in length.

9. COCA - Supporting Resilient Fishing Communities in the Northeast Region will be up to two-years in length.

10. CEE - projects are expected to last one year.

#### C. Type of Funding Instrument

The funding instrument for awards will be a grant. If, however, it is anticipated that NOAA will be substantially involved in the implementation of the project, a cooperative agreement may be awarded. Examples of substantial involvement may include, but are not limited to, applications for collaboration between NOAA scientists and a recipient scientist or contemplation by NOAA of detailing Federal personnel to work on proposed projects. NOAA will make decisions regarding the use of a cooperative agreement on a case-by-case basis. Funding for contractual arrangements for services and products for delivery to NOAA is not available under this announcement.

If the applicant is at an institution that has a NOAA Cooperative Institute (CI), the applicant is encouraged to submit a proposal that references the CI by attaching a cover letter to the

proposal stating the desire to have the grant associated with the CI.

### III. Eligibility Information

#### A. Eligible Applicants

Eligible applicants are institutions of higher education, other nonprofits, commercial organizations, international organizations, and state, local and Indian tribal governments. Federal agencies interested in receiving financial support for projects should contact the appropriate competition manager.

#### B. Cost Sharing or Matching Requirement

None.

#### C. Other Criteria that Affect Eligibility

None.

### IV. Application and Submission Information

#### A. Address to Request Application Package

Application packages are at [grants.gov](https://grants.gov). For applicants without Internet access, please contact the CPO Grants Manager Diane Brown by mail at NOAA Climate Program Office (R/CP1), SSMC3, Room 12734, 1315 East-West Highway, Silver Spring, MD 20910 to obtain an Application Package.

#### B. Content and Form of Application

##### 1. Letter of Intent (LOI)

The purpose of the LOI process is to provide information to potential applicants on the relevance of their proposed project to the competition in advance of preparing a full application. Full applications will be encouraged only for LOIs deemed relevant. Applicants who have not been encouraged may still submit a full application. While LOIs are strongly encouraged, applicants are not required to submit them and may submit a full application even if they have not submitted an LOI.

LOIs should be submitted by email (for MAPP competitions, applicants should check the information sheet for requested means of LOI submission) to the identified NOAA Competition Manager by the deadline specified in section IV.C below (check competitions information sheet for contact information). The LOI should provide a concise description of

the proposed work and a statement regarding its relevance to the targeted competition. The LOI should be no more than two pages in length and should include the items listed below. If these items are not included or the LOI is submitted late, the LOI may not be considered:

Identification of the competition that is being targeted in the LOI. A tentative project title. Name(s) and institution(s) of the Lead Principal Investigator(s) and other Principal Investigator(s).

Statement of the problem.

Brief summary of work to be completed, methodology to be used, data sets needed or to be collected.

Approximate cost of the project.

Relevance to the Competition that is being targeted.

A response to the LOI from the Competition Manager (e-mail or letter) will be sent to the investigator within three weeks after the LOI's due date encouraging or discouraging a full application based on its relevance to the targeted competition. It is then entirely up to the investigator whether to submit a full application.

## 2. Full Application

Failure to comply with these provisions will result in applications being returned without review. Full applications are limited to 35 pages, single spaced, using 12-point font type with one-inch margins on standard 8.5 by 11 inch paper. For full applications with three or more Principal Investigators, the page limit is 40 pages. The page limit includes:

Title page

Abstract

Results from prior research

Project Narrative

Budget narrative

Budget table

Vitae

Current and pending support

Associated figures

References

Data/Information Sharing Plan

Diversity, Inclusion and Broader Impacts.

For applications to the MAPP Competitions, the form to request the use of NOAA's high-performance computing platforms is considered part of the full proposal, but it will not be included in the page count.



The full proposal and Indirect Cost Rate Agreement (IDCRA) should be put into one electronic file. The budget table/justification should be submitted in a file labeled budget narrative. The Federal Forms (SF424, SF424A, SF424B, CD511) and other mandated forms should be inserted in separate files when submitted and are not included in the page count.

The following forms and elements are required in each application.

(1) Title page: The title page shall identify the Principal Investigator(s) (PI) and institutional representative and clearly indicate which Competition is being addressed by name and Competition number. The title page should also include all co-PIs from Federal Institutions. If more than one investigator is listed on the title page, please identify the lead investigator. The lead PI and institutional representative should be identified by: full name, title, organization, telephone number, email, and address. For paper submissions, the lead PI and the institutional representative must sign the title page. The total amount of Federal funds being requested should be listed for each budget period. If there are several institutions submitting separate applications associated with the same project, the names of all component institutions along with their lead PI name, e-mail, and amount requested per year must also appear on the title page of all applications that anticipate being funded under the same project.

(2) Abstract: A one-page abstract must be included and should contain the project title, an introduction to the problem, rationale, and a brief summary of the work to be completed. Abstracts must identify the name of the Competition that is being targeted and must also include a paragraph describing the work's relevance to the Competition that is being targeted as well as NOAA's long-term climate research goals stated in section I.A. For multiple applications associated with the same project, the abstract must be identical in all applications. Failure to include this paragraph can result in the application being denied without additional review.

(3) Results from prior research: The results of each prior research project led by the Principal Investigator(s) during the last three years relevant to the proposed effort should be summarized in brief paragraphs. Because NOAA believes it is important that data sets developed with its support should be shared with the scientific community, PIs should also indicate how and when they have made their data accessible and usable by the community in the past. This section should not exceed two pages. For multiple applications associated with the same project, this section must be identical in all applications.

(4) Project Narrative: The proposed project must be completely described, including identification of the problem, scientific objectives, proposed methodology, and relevance to the Competition to which you are submitting the proposal and to NOAA's long-term climate research goals. Benefits of the proposed project to the general public and the scientific community should be discussed. The statement of work, excluding references, figures, and other visual materials, must not exceed 15 pages of text. Applications from three or more investigators may include a statement of work containing up to 20 pages of overall project description. For multiple applications associated with the same project, all applications must have an identical statement of work, including a clear statement of the roles and responsibilities of each applicant.

(5) Data/Information Sharing Plan:

Proposals submitted in response to this announcement must include a data management plan (up to 2 pages). See section VI.B Administrative and National Policy requirements below for additional information of what the plan should contain.

(6) Statement of Diversity, Inclusion, and Broader Impacts: This section should provide a discussion of the broader impacts of the proposed activities including a statement on diversity and inclusion. Broader impacts may be accomplished through the research itself, through the activities that are directly related to specific research projects, or through activities that are supported by, but are complementary to the project. NOAA CPO values the advancement of scientific knowledge and activities that contribute to the achievement of societally relevant outcomes. Such outcomes include, but are not limited to: full participation of women, persons with disabilities, and underrepresented minorities in science, technology, engineering, and mathematics (STEM); increased public scientific literacy and public engagement with science and technology; improved well-being of individuals in society; development of a diverse, globally competitive STEM workforce; increased partnerships between academia, industry, and others; improved national security; increased economic competitiveness of the United States; and enhanced infrastructure for research and education.

(7) Budget Table and Narrative:

Budget Table: An itemized budget for all years and a total itemized budget must be included as a separate spreadsheet that breaks down the budget per object class category. Travel must be itemized to include destination, airfare, per diem, lodging, and ground travel.

For multiple applications associated with the same project, the Lead Principal Investigator should include a spreadsheet that displays the total budget for all partners. All partners, including the Lead Principal Investigator and any co-PIs from Federal Institutions, should include a separate budget for their portion of the project.

Budget Narrative: A brief description of the expenses listed on the budget table and how they address the proposed work must be included. Item justifications must include salaries, equipment, publications, supplies, tuition, travel, etc. Investigators who will not be requesting funds for salaries must also be listed, indicating their estimated time of commitment. Purchases of equipment greater than \$5000 must include a purchase versus lease justification.

(8) Federal Budget Forms: Budget numbers corresponding with the descriptions contained in the statement of work and budget table must be included. In addition to including the total budget on the SF424, the application must include the total budget and budgets for years 1, 2, and 3 in separate columns in Section B on page 1 on the SF424A. (Note that this revised 424A Section B format is a NOAA requirement that is not reflected in the Instructions for the SF 424A). Note that these forms are not part of the required page limit.

For multiple applications associated with the same project, each application requesting funding from NOAA needs to complete the federal budget forms for their specific institution.

(9) Indirect Costs: A copy of the institution's current Indirect Cost Rate Agreement (IDCRA) must be included. The IDCRA does not, however, count as part of the required page limit. To obtain an indirect cost rate if your institution does not already have one, a grantee must submit an indirect cost proposal to its cognizant agency and negotiate an indirect cost agreement. If an applicant has not previously (ever) established an indirect cost rate with a Federal agency they may choose to negotiate a rate with the Department of Commerce or use the de minimis indirect cost rate of 10% of MTDC (as allowable under 2C.F.R. 200.414).

(10) Vitae: Abbreviated curriculum vitae are requested with each application. Reference lists should be limited to all publications in the last three years with up to five other relevant papers. For multiple applications associated with the same project, each application should include identical vitae for all applications.

(11) Current and pending support: For each Principal Investigator and Co-Principal Investigator(s), submit a list of all current and pending Federal support that includes project title, supporting agency with grant number, investigator months per year, dollar value, and duration. Requested values should be listed for pending support. The list of support will be included in the page limit for the proposals.

For multiple applications associated with the same project, each application should include identical current and pending support information for all applications.

All letters of support must be submitted as part of the proposal and are included in the page limit for the proposals.

(12) DUNS Number: All applications must have a DUNS (Dun and Bradstreet Data Universal Numbering System) number when applying for federal grants. No application is deemed complete without the DUNS number, and only the Office of Management and Budget (OMB) may grant exceptions.

### CEE Proposal Format Instructions

Full applications are limited to 15 pages, as described below. Proposal text should be single spaced, using 12-point font type with one-inch margins on standard 8.5- by 11-inch paper. Specifically, proposals should include the following elements and observe the indicated page constraints. Applicants should include the elements 5, 8, 9, 10, 11, and 12 from the above text as part of your submission requirements.

1. Letter of Transmittal (= 1 page)

- A short cover letter that includes a short problem statement & very brief overview of proposed solution.

2. Proposal Narrative (= 4 pages)

- What problem or gap does the proposed project seek to address, and how?
- How will the project be developed and implemented?
- How will the proposed project build on existing resources and/or capabilities of partners among the larger climate resilience / adaptation community?
- What are the distinguishing capabilities, capacities, and resources of the project's proposed partners? What roles will they each play in this project, and how do they complement one another?

3. Proposed budget and budget narrative (2 pages)

- 1-page narrative explaining how funds will be disbursed among and between partnering organizations to support the costs of the proposed project.
- 1 page with table listing all deliverables, their individual costs, and estimated dates of delivery (e.g., number of days after award of funds).

4. Relevant addenda (= 8 pages)

- Professional resumes of entities and/or individuals
- Letters of support from partners and/or stakeholders (permitted but not required)

C. Unique Entity Identifier and System for Award Management (SAM)

To enable the use of a universal identifier and to enhance the quality of information available to the public as required by the Federal Funding Accountability and Transparency Act, 31

U.S.C. 6101 note, to the extent applicable, any proposal awarded in response to this announcement will be required to use the System for Award Management (SAM), which may be accessed online at <https://www.sam.gov/portal/public/SAM/>. Applicants are also required to use the Dun and Bradstreet Universal Numbering System, as identified in OMB guidance published at 2 CFR Parts 25, which may be accessed at <http://www.ecfr.gov/cgi-bin/textidxSID=2dae4a7dcd5848a6364bb94d2d7786dd&mc=true&tpl=/ecfrbrowse/Title02/2subtitleA.tpl>.

D. Submission Dates and Times

Letters of Intent for all Competitions should be received by email to the Competition Manager by September 10, 2018 5:00 p.m. Eastern Time.

Full applications for all Competitions must be received by 5:00 p.m. Eastern Time, November 20, 2018.

E. Intergovernmental Review

Applications under this program are not subject to Executive Order 12372, Intergovernmental Review of Federal Programs.

F. Funding Restrictions

Fees and profits are disallowed.

G. Other Submission Requirements

All applications should be submitted through [grants.gov](https://www.grants.gov). If an applicant does not have Internet access, CPO Grants Manager Diane Brown should be contacted by mail at NOAA Climate Program Office (R/CP1), SSMC3, Room 12734, 1315 East-West Highway, Silver Spring, MD 20910 for hard copy submission instructions.

## V. Application Review Information

### A. Evaluation Criteria

#### 1. Importance/Relevance and Applicability of Application to the Program Goals (Stage 1 Weight=0%) (Stage 2 Weight=100%) (Final Weight=25%)

This criterion ascertains whether there is intrinsic value in the proposed work and/or relevance to NOAA, federal, regional, state, tribal, or local activities. For the CPO Grant Program Competition, this includes importance and relevance to the scientific priorities of the selected Competition(s), the PI's record of making his/her data accessible and usable by the scientific community in the past, the Statement of Diversity, Inclusion, and Broader Impacts described in Section IV.B(6), and the procedures described in Section IV.B(5) Data/Information Sharing Plan will also be considered when evaluating the importance and relevance of the application. For the CSI competitions, the above stated relevance score will also include the applicant's approach for engaging decision makers and building networks of relationships to help support decision makers with scientific information.

#### 2. Technical/Scientific Merit (Stage 1 Weight=70%) (Stage 2 Weight=0%) (Final Weight=52.5%)

This criterion assesses whether the approach is technically sound and/or innovative, if the methods are appropriate, and whether the goals of the Competition will be realized through clear project goals and objectives. For CSI competitions, the above stated merit score will also include the applicant's credibility in capacity-building approaches.

#### 3. Overall Qualifications of Applicants (Stage 1 Weight=20%) (Stage 2 Weight=0%) (Final Weight=15%)

This criterion assesses whether the applicant team possesses the necessary education, experience, training, facilities, and/or administrative resources to accomplish the project. For CSI competitions, the above stated qualifications score will also include the PIs' record of collaborating with decision-making communities.

#### 4. Project Costs (Stage 1 Weight = 10%) (Stage 2 Weight = 0) (Final Weight =7.5%)

This criterion evaluates the budget to determine if it is realistic and commensurate with the project needs and time frame.

### B. Review and Selection Process

Once a full application has been received, an administrative review will be conducted to determine compliance with requirements and completeness of the application. The reviews

will take place in two stages. In Stage 1, independent peer mail reviewers and/or independent peer panel reviewers consisting of both Federal and/or non-Federal experts will evaluate applications using the following three criteria described above: technical/scientific merit, overall qualifications of applicants, and project costs. Relevance will be assessed separately in Stage 2. The panel will not give consensus advice. We protect the identities of reviewers to the extent permitted by law.

During Stage 1, each reviewer will provide one score for each of three criteria: technical/scientific merit, overall qualifications of applicants, and project costs for each application. The scores from the reviewers for each application will be combined using the weighting averages to produce a single numerical score for Stage 1. Occasionally a reviewer may, due to lack of familiarity in a particular area, choose not to score a particular application. Proposals that score a 3.0 or higher (out of a possible high score of 5) in Stage 1 will proceed to Stage 2.

If only a mail peer review is conducted for stage 1, proposals that score a 3.0 or higher (out of a possible high score of 5) in Stage 1 will proceed to Stage 2.

If a mail review and a panel review are both conducted for Stage 1, the mail reviews will be provided to the Stage 1 review panel for use in its deliberations prior to providing its ratings, but the Competition Manager will use only the numerical rank order of the peer review panel to determine the average score for each proposal. Proposals that score a 3.0 or higher (out of a possible high score of 5) in Stage 1 will proceed to Stage 2.

In Stage 2, scores for Importance/Relevance and Applicability of Application to the Program Goals will be determined by a second panel comprising either Federal or a combination of Federal and non-Federal partners. Each panel reviewer will provide a relevance score for each application that moved forward from Stage 1. The Stage 2 panel will not give consensus advice. The applications and their associated scores from Stage 1 will be provided to the Stage 2 panel.

The Stage 1 and Stage 2 weighting of scores for the individual criteria is shown in the following table:

Criterion	Stage 1 Weight	Stage 2 Weight	
Final Weight			
Importance and Relevance/Applicability	0%	100%	25%
Technical/Scientific Merit	70%	0%	52.5%

Overall Qualifications of Applications	20%	0%	15%
Project Costs	10%	0%	7.5%
Final Score			
Stage Total	100%	100%	100%

To determine the final score, the scores from Stage 1 and Stage 2 will be combined, with a weighting of 75% for the Stage 1 score and 25% for the Stage 2 score, leading to the overall weightings for each criterion reported in section V.A above. The final score for each application will be used to determine the numerical rank order of proposals within each Competition.

The Competition Manager will recommend applications to the Selecting Official in numerical rank order unless a recommendation out of rank order is justified based upon any of the factors listed in the following section. Should applications receive a tie score, and funding is not available for every tied application, the Competition Manager may preferentially recommend applications for funding also according to any of the factors listed in the following section. The Competition Manager will review the amounts requested for each selected application (including costs for computing and networking services) and recommend the total duration and the amount of funding, which may be less than the application and budget requested.

#### C. Selection Factors

The Selecting Official shall select awards in rank order unless a selection out of rank order is justified based upon any of the following factors:

Availability of funding Balance/distribution of funds: Geographically

By type of institutions By type of partners By research area

By project types

Duplication of other projects funded or considered for funding by NOAA/Federal agencies

Program priorities and policy factors

Applicant's prior award performance Partnerships with/participation of targeted group

Adequacy of information necessary for NOAA staff to make a NEPA determination and draft necessary documentation before recommendations for funding are made to the Grants Officer.

The Selecting Official makes final recommendations for awards to the Grants Officer who is authorized to obligate the funds.

#### D. Anticipated Announcement and Award Dates

Subject to the availability of funds, review of applications will occur during the 6-7 months



following the full applications due date. CPO anticipates that funding decisions on applications will be made during spring 2019. Such decisions are contingent upon the final FY 2019 appropriation for NOAA by Congress and the final allocation of funds to CPO by NOAA. Funding for successful applicants is expected to begin during spring-summer 2019 for most approved projects. Applications should use September 1, 2019, as the start date unless otherwise directed by the Competition Manager.

## VI. Award Administration Information

### A. Award Notices

The Grants Officer will provide notice to the applicant that they have received the award. Successful applicants will receive notification that the application has been recommended for funding by an official of the NOAA Climate Program Office. This notification is not an authorization to begin performance of the project. The official notification of funding, signed by a NOAA Grants Officer, is the authorizing document that allows the project to begin. Notifications will be issued to the Authorizing Official and the Principal Investigator of the project. Unsuccessful applicants will be notified that their application was not selected for recommendation.

### B. Administrative and National Policy Requirements

**UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS.** Through 2 C.F.R. § 1327.101, the Department of Commerce adopted Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 C.F.R. Part 200, which apply to awards in this program. Refer to <http://go.usa.gov/SBYh> and <http://go.usa.gov/SBg4>.

**DOC TERMS AND CONDITIONS.** Successful applicants who accept a NOAA award under this solicitation will be bound by Department of Commerce Financial Assistance Standard Terms and Conditions. This document will be provided in the award package in NOAA's Grants Online system at <http://www.ago.noaa.gov> and at <http://go.usa.gov/hKbj>.

**DEPARTMENT OF COMMERCE PRE-AWARD NOTIFICATION REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS** - The Department of Commerce Pre-Award Notification Requirements for Grants and Cooperative Agreements contained in the Federal Register notice of December 30, 2014 (79 FR 78390) are applicable to this solicitation and may be accessed online at <http://www.gpo.gov/fdsys/pkg/FR-2014-12-30/pdf/2014-30297.pdf>.

**LIMITATION OF LIABILITY** - Funding for programs listed in this notice is contingent upon the availability of continuing Congressional appropriations. Applicants are hereby given notice that funds have not yet been appropriated for the programs listed in this notice. In no event will NOAA or the Department of Commerce be responsible for proposal preparation costs. Publication of this announcement does not oblige NOAA to award any specific project or to obligate any available funds.

**UNPAID OR DELINQUENT TAX LIABILITY.** Certifications Regarding Federal Felony and Federal Criminal Tax Convictions, Unpaid Federal Tax Assessments and Delinquent Federal Tax Returns. In accordance with Federal appropriations law, an authorized representative of the selected applicant(s) may be required to provide certain pre-award certifications regarding federal felony and federal criminal tax convictions, unpaid federal tax assessments, and delinquent federal tax returns.

**REVIEW OF RISK** - After applications are proposed for funding by the selecting official, the Grants Office will perform administration reviews. These may include assessments of the financial stability of an applicant and the quality of the applicant's management systems, history of performance, and the applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities. Special conditions that address any risks determined to exist may be applied. Applicants may submit comments to the Federal Awardee Performance and Integrity Information System (FAPIIS) about any information included in the system about their organization for consideration by the awarding agency.

**DATA SHARING PLAN** - 1. Environmental data and information collected or created under NOAA grants or cooperative agreements must be made discoverable by and accessible to the general public, in a timely fashion (typically within two years), free of charge or at no more than the cost of reproduction, unless an exemption is granted by the NOAA Program. Data should be available in at least one machine-readable format, preferably a widely-used or open-standard format, and should also be accompanied by machine-readable documentation (metadata), preferably based on widely used or international standards. 2. Proposals submitted in response to this Announcement must include a Data Management Plan of up to two pages describing how these requirements will be satisfied. Administrative and National Policy Requirements, below for additional information on what the plan should contain. The Data Management Plan should be aligned with the Data Management Guidance provided by NOAA in the Announcement. The contents of the Data Management Plan (or absence thereof), and past performance regarding such plans, will be considered as part of proposal review. A typical plan should include descriptions of the types of environmental data and information expected to be created during the course of the project; the tentative date by

which data will be shared; the standards to be used for data/metadata format and content; methods for providing data access; approximate total volume of data to be collected; and prior experience in making such data accessible. The costs of data preparation, accessibility, or archiving may be included in the proposal budget unless otherwise stated in the Guidance. Accepted submission of data to the NOAA National Centers for Environmental Information (NCEI) is one way to satisfy data sharing requirements; however, NCEI is not obligated to accept all submissions and may charge a fee, particularly for large or unusual datasets. 3. NOAA may, at its own discretion, make publicly visible the Data Management Plan from funded proposals, or use information from the Data Management Plan to produce a formal metadata record and include that metadata in a Catalog to indicate the pending availability of new data. 4. Proposal submitters are hereby advised that the final pre-publication manuscripts of scholarly articles produced entirely or primarily with NOAA funding will be required to be submitted to NOAA Institutional Repository after acceptance, and no later than upon publication. Such manuscripts shall be made publicly available by NOAA one year after publication by the journal.

**INDIRECT COST RATE** - If an applicant has not previously established an indirect cost rate with a Federal agency they may choose to negotiate a rate with the Department of Commerce or use the de minimis indirect cost rate of 10% of MTDC (as allowable under 2 C.F.R. §200.414). The negotiation and approval of a rate is subject to the procedures required by NOAA and the Department of Commerce Standard Terms and Conditions. The negotiation and approval of a rate is subject to the procedures required by NOAA and the Department of Commerce Standard Terms and Conditions Section B.06. The NOAA contact for indirect or facilities and administrative costs is: Lamar Revis, Grants Officer, NOAA Grants Management Division 1325 East West Highway, 9th Floor Silver Spring, MD 20910

**MINORITY SERVING INSTITUTIONS** - The Department of Commerce/National Oceanic and Atmospheric Administration (DOC/NOAA) is strongly committed to increasing the participation of Minority Serving Institutions (MSIs), i.e., Historically Black Colleges and Universities, Hispanic-serving institutions, Tribal colleges and universities, Alaskan Native and Native Hawaiian institutions, and institutions that work in underserved communities.

**FREEDOM OF INFORMATION ACT (FOIA)** - In the event that an application contains information or data that you do not want disclosed prior to award for purposes other than the evaluation of the application, mark each page containing such information or data with the words "Privileged, Confidential, Commercial, or Financial Information - Limited Use" at the top of the page to assist NOAA in making disclosure determinations. DOC regulations implementing the Freedom of Information Act (FOIA) are found at 5 U.S.C 552, which sets forth rules for DOC to make requested materials, information, and records publicly available

under FOIA. The contents of funded applications may be subject to requests for release under the FOIA. Based on the information provided by you, the confidentiality of the content of funded applications will be maintained to the maximum extent permitted by law.

**PAPERWORK REDUCTION ACT** – This notification involves collection-of-information requirements subject to the Paperwork Reduction Act. The use of Standard Forms 424, 424A, 424B, and SF-LLL and CD-346 has been approved by the Office of Management and Budget (OMB) under control numbers 0348-0043, 0348-0044, 0348-0040, and 0348-0046 and 0605-0001. Notwithstanding any other provision of law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the PRA unless that collection of information displays a currently valid OMB control number.

### C. Reporting

Award recipients are required to submit financial and technical progress reports. These reports are to be submitted electronically via <https://grantsonline.rdc.noaa.gov>. The first technical progress report covering the first nine months of a multi-year award is due 10 months after the start date of the award. Each subsequent technical progress report covering a period of 12 months is due 12 months after the previous report. The comprehensive final technical progress report is due 90 days after the expiration date of the award. Technical progress reports should report on adherence to the Data/Information Sharing Plan and all listed publications resulting from the grant should adhere to the requirements established in said section.

The Federal Funding Accountability and Transparency Act, 31 U.S.C. 6101 note, includes a requirement for awardees of applicable Federal grants to report information about first-tier subawards and executive compensation under Federal assistance awards. All awardees of applicable grants and cooperative agreements are required to report to the Federal Sub-award Reporting System (FSRS) available at <https://www.fsrs.gov/> on all sub-awards over \$25,000. Refer to 2 CFR Parts 170.

## VII. Agency Contacts

Please visit the CPO website for further information at or contact the CPO Grants Manager, Diane Brown, by mail (see address above) or at [diane.brown@noaa.gov](mailto:diane.brown@noaa.gov). Please allow up to two weeks after receipt for a response.

## VIII. Other Information

None.